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TECH CENTER 1600/2900
PATENT DOCKET NO. 09/305,390

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Hiroaki Yamamoto
Serial No. : 09/305,390
Filed : May 5, 1999
Title : METHOD FOR PRODUCING OPTICALLY ACTIVE 4-HALO-
HYDROXYBUTRIC ACID ESTER

Art Unit: 1643
Examiner:

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Assistant Commissioner for Patents
Washington, DC 20231

RESPONSE TO NOTICE TO COMPLY WITH REQUIREMENTS
FOR PATENT APPLICATIONS CONTAINING
NUCLEOTIDE AND/OR AMINO ACID SEQUENCE

In response to the communication dated August 2, 1999,
a copy of which is enclosed, applicant submits copies of the
following, the originals having been transmitted with the
application filed May 5, 1999:

- (1) Sequence Listing in computer readable form as
required by 37 CFR §1.824;
- (2) Sequence Listing as required under 37 CFR
§1.823(a);
- (3) Statement under 37 CFR §1.821(b); and
- (4) Copy of the returned postcard, stamped as having
been received by the U.S. Patent and Trademark Office on May 5,
1999.

Date of Deposit SEPTEMBER 2, 1999
I hereby certify under 37 CFR 1.8(a) that this correspondence is being
deposited with the United States Postal Service as first class mail
with sufficient postage on the date indicated above and is addressed to
the Assistant Commissioner for Patents, Washington, D.C. 20231.

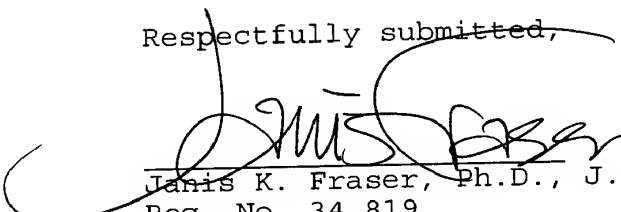
Kathleen Philpot
Kathleen Philpot

I hereby state that this submission, filed in
accordance with 37 CFR §1.821(g), does not contain new matter.

Respectfully submitted,

Date:

Sept. 2, 1999


Janis K. Fraser, Ph.D., J.D.
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389816.B11



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/305,390 05/05/99 YAMAMOTO

H. 06501/030001

0262/0802

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NOT ASSIGNED

1643

DATE MAILED:

08/02/99

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821 - 1.825 for the following reason(s):

- ☒ 1. This application fails to comply with the requirements of 37 CFR 1.821 - 1.825.
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 CFR 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ 7. OTHER: 9-2-99

APPLICANT MUST PROVIDE:

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing."
- ☒ An initial or substitute paper copy of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE CONTACT:

- ☐ For Rules Interpretation, call (703) 308-1123.
- ☐ For CRF submission help, call (703) 308-4212.
- ☐ For PatentIn software help, call (703) 308-6856.

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PATENT

ATTORNEY DOCKET NO.: 06501/030001

The Patent and Trademark Office date stamp sets forth the receipt date (or both the receipt date and the Serial Number) of a patent application identified as follows:

Applicant: Hiroaki Yamamoto

Title: METHOD FOR PRODUCING OPTICALLY ACTIVE 4-HALO-3-HYDROXYBUTRIC ACID ESTER

- ☒ Transmittal Letter
- ☒ Appln. 52 Pages of Spec. 4 Pages of Claims 22 Total Claims 1 Pages of Abstract
- ☐ Rule 62 Filing Request (FWC) Pages
- ☐ Assignment
- ☐ Deposit Account Order Form (2 copies)
- ☒ Check \$ 796.00
- ☐ Small Entity Statement
- ☒ Drawings Sheets Formal 4 Sheets Informal
- ☒ Combined Declaration and Power of Attorney signed ☒ unsigned
- ☐ Preliminary Amendment - Pages
- ☐ Information Disclosure Statement
 - ☐ PTO 1449 Form - Pages
 - ☐ Prior Art References - Number of References
- ☐ Priority Document - Pages
- ☐ English Translation
- ☒ Other Sequence Listing, 11 pgs. & Diskett

Jc511 U.S. PTO
09/305390
05/05/99

Atty/Sec Client/
Initials JKF/kJP Matter Name Shimizu/Daicel Assymetric

Date 5-5-99